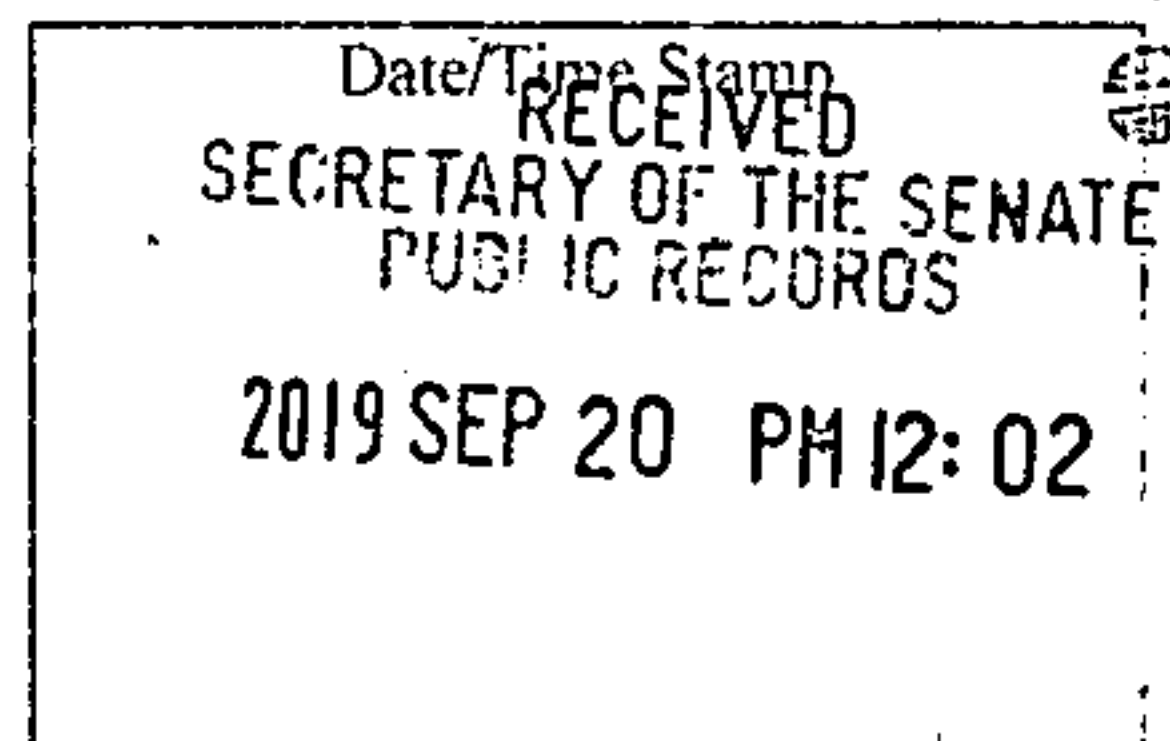


# COVER SHEET FOR AMENDMENT OF POST-TRAVEL SUBMISSION



**Instructions:** Use this form as a cover sheet for any paperwork you may need to submit to the Office of Public Records in order to make your Privately Sponsored Post-Travel Submission complete in accordance with Rule 35. **Only complete this form if you need to submit an amendment to a post-travel filing you have already submitted.**

**SUBMIT DIRECTLY TO THE OFFICE OF PUBLIC RECORDS IN 232 HART BUILDING**

Name of Traveler: Stephen M. Smith

Employing Office/Committee: Senator Angus King, Jr.

Travel Expenses Paid by (List all sources): Stanford University

Travel Date(s): August 26-29, 2019

Description/Title of Attached Forms: Updated RE-2, and final versions of invitation and Private Sponsor  
Travel Certification Form

Purpose of Amendment (describe the reason for amending original submission): My original submission  
included an incomplete RE-2, and did not include the latest versions of the invitation and Private  
Sponsor Travel Certification Form

9/20/2019

(Date)

Stephen M. Smith

(Signature of Traveler)

# Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

**Post-Travel Filing Instructions:** Complete this form within 30 days of returning from travel. Submit all forms to the Office of Public Records in 232 Hart Building.

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
- ☒ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): Stanford University

Travel date(s): August 26-29, 2019

Name of accompanying family member (if any): N/A

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

## Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	\$599.45 (round trip airfare)	\$600 (\$200/night)	\$218	None
<input checked="" type="checkbox"/> Actual Amount	\$60 (ground transportation) Total: \$659.45			

## Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	N/A	N/A	N/A	N/A
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

See agenda submitted in my original disclosure

9/20/2019  
(Date)

Stephen M. Smith  
(Printed name of traveler)

Stephen M. Smith  
(Signature of traveler)

## TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

9/20/19  
(Date)

Angus King  
(Signature of Supervising Senator/Officer)

## AUGUST 26-29, 2019



**Russell C. Wald**  
**Senior Manager, External Affairs**  
**Hoover Institution, Stanford University**

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## PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should NOT submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors): Stanford University (Partnership between Stanford's Hoover Institution, Freeman Spogli Institute, Human Centered Artificial Intelligence Institute)
2. Description of the trip: An intensive program for Congressional staff which consists of three days of seminars, simulations, and keynote presentations.
3. Dates of travel: August 26 - 29, 2019
4. Place of travel: Stanford University, Stanford, CA
5. Name and title of Senate invitees: See attached list
6. I *certify* that the trip fits one of the following categories:
  - ☐ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
  - OR -
  - ☒ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
  - AND -
  - ☐ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
  - ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
  - AND -
  - ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).



9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

– OR –

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

– OR –

☒ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

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11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

Stanford University solely planned all aspects of the trip including topics discussed, travel/accommodation logistics, and required paperwork. Stanford staff will also be responsible for traveling with Congressional staff and managing logistics for the duration of the trip.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

Stanford University is a 501(C)3 institution of higher education that seeks to promote the public welfare by exercising an influence in behalf of humanity and civilization, through teaching and rigorous scholarship.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

Stanford University has sponsored several trips for Congressional staff. Specifically, this is the fourth Cyber Boot Camp for Congressional staff organized by Stanford. The most recent one was August 2017 and had a similar format to this trip.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

Stanford University regularly sponsors policy panels and roundtables for think tank scholars, journalists,

Congressional staff, Executive branch officials, academics and members of the public. Additionally

Stanford educates numerous undergrad and graduate students within the university.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate	\$599.45 Round trip airfare	\$600 (\$200/night)	\$218	None
<input type="checkbox"/> Actual Amounts	\$60 Ground transportation \$659.45 Total			

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip involves an event that is arranged/organized specifically with regard to Congressional staff participation.

18. Reason for selecting the location of the event or trip

In order to have a significant number of California-based faculty participate in the event, we are hosting it at the Stanford University campus.

19. Name and location of hotel or other lodging facility:

Schwab Residential Center, 680 Serra Street, Stanford CA 94305

20. Reason(s) for selecting hotel or other lodging facility:

The Schwab Residential Center is owned and operated by Stanford University. It is in close proximity to the events that comprise the program, and falls into the per diem guidelines.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Lodging expenses are less than the federal per diem for Stanford, CA. Meal expenses are less than the federal per diem for Stanford, CA.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Stanford University will provide economy class round trip airfare between Washington, DC and San Francisco, CA, and ground transportation in California.

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

None

25. I hereby *certify* that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you *must* include a completed signature page for each additional sponsor):

Signature of Travel Sponsor: 

Name and Title: Russell Wald, Senior Manager, External Affairs

Name of Organization: Stanford University

Address: 434 Galvez Mall, Stanford, CA 94305

Telephone Number: 202.760.3200

Fax Number: 202.760.3191

E-mail Address: rwald@stanford.edu

**PRIVATE SPONSOR TRAVEL CERTIFICATION FORM**

**SIGNATURE PAGE FOR ADDITIONAL SPONSOR**

*(to be completed by each additional sponsor)*

I hereby *certify* that the information contained on pages 1-4 of the certification form and any accompanying addenda, all submitted in connection with the August 26-29, 2019 trip  
to Stanford University, Stanford, CA is true, complete, and correct.  
*Place of Travel*

Signature of Travel Sponsor: 

Name and Title: Russell Wald, Senior Manager, External Affairs

Name of Organization: Stanford University

Address: 434 Galvez Mall, Stanford, CA 94305

Telephone Number: 202-760-3200

Fax Number: 202-760-3191

E-mail Address: rwald@stanford.edu